

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Confirmation No. 7707

Khalizadeh et al.

Art Unit:

Appl. No. 10/043,694

Examiner:

Ponomarenko, N.

Filed: January 10, 2002

Atty. Docket: 2066.0210001

For:

Power Generation System Having

Transient Ride-Through/Load-

Leveling Capabilities (as amended)

(Capstone Ref. No. 0402)

Information Disclosure Statement

Commissioner for Patents PO Box 1450 Alexandria, VA 22313-1450

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

□ 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a

- foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- □ 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
 - □ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
 - □ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
 - □ c. Attached is our PTO-2038 Credit Card Payment Form in the amount of \$
 _____ in payment of the fee under 37 C.F.R. § 1.17(p).

- □ 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Attached is our PTO-2038 Credit Card Payment Form in the amount of \$180.00 in payment of the fee under 37 C.F.R. § 1.17(p); in addition:
 - □ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
 - □ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- □ 5. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.
- - Document AL1 (DE 3634328) appears to describe a control circuit for turbine AC motor-generator. An English-language abstract of document ALA is enclosed, listed as document AR2 on the accompanying form PTO-1449.
 - Document AM1 (DE 19704662) appears to describe a load symmetrising for

several supply modules. An English-language abstract of document AM1 is enclosed, listed as document AS2 on the accompanying form PTO-1449.

- Document AN2 (FR 2395316) appears to describe a control system for turbine driven by blast furnace throat gas. An English-language abstract of document AN2 is enclosed, listed as document AT2 on the accompanying form PTO-1449.
- Document AO2 (JP 52-60924) appears to describe a control circuit in permanent magnet motor. An English-language abstract of document AO2 is enclosed, listed as document AR3 on the accompanying form PTO-1449.
- □ 7. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. _______, filed ______, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Virgil L. Beaston for Applicants

Registration No. 47,415

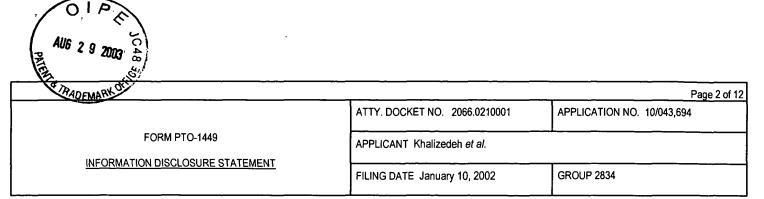
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1100 New York Avenue, N.W. Washington, D.C. 20005-3934 (202) 371-2600

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		FORM PTO-1449		APPLICANT Khalizedeh et al.	APPLICANT Khalizedeh et al.			
<u>II</u>	IFORMATIO	N DISCLOSURE STA	TEMENT	FILING DATE January 10, 2002	GROUP	2834		
				J.S. PATENT DOCUMENTS				
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE	
	AA1	2,864,244	12/1958	Prachar				
	AB1	3,124,924	3/1964	Smith				
	AC1	3,250,973	5/1966	Dawson			 	
·	AD1	3,569,809	3/1971	Comer				
	AE1	3,591,844	7/1971	Schonebeck				
	AF1	3,703,076	11/1972	Hagemeister				
	AG1	3,724,214	4/1973	Bryant			<u></u>	
	AH1	3,764,815	10/1973	Habock et al.		<u> </u>		
	Al1	3,809,914	5/1974	Kilgore et al.				
	AJ1	3,829,758	8/1974	Studtmann				
	AK1	3,937,974	2/1976	Lafuze				
	-,		FOF	REIGN PATENT DOCUMENTS	 		ı <u>.</u>	
EXAMINER NITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATIO	
	AL1	3634328	4/1987	DE			Y	
	AM1	19704662	8/1998	DE			Y	
····	AN1	0 472 294	2/1992	EP				
	AO1		11/1995	EP	_		`	
	AP1	0 837 231	4/1998	EP			`	
			OTHER (Includin	g Author, Title, Date, Pertinent Pages, etc.)				
	AR			ntitled "Method and Equipment for Contro 13, 1999, Japanese Application No.11- 1		ent Magnet Turb	ine	
AS Japanese Patent Abstract entitled "Command and Control System Method for Multiturbo General October 27, 1999, Japanese Application No. 11-305375.						turbo Generato	rs", filed	
	AT		Patent Abstract e n No.10-220231.	ntitled "Turbine Generator-Motor Controlle	er", filed Augu	st 4, 1998, Japa	anese	
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				U.S.	PATENT DOCUMENTS			
EXAMINER INITIAL		DOCU NUMB		DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA2	3,991,	357	11/1976	Kaminski		1	
	AB2	4,005,	581	2/1977	Aanstad		1	
	AC2	4,015,	187	3/1977	Sasaki et al.			
	AD2	4,039,914		8/1977	Steigerwald et al.			
	AE2				Hoffmann et al.			
	AF2	4,119,	861	10/1978	Gocho	i i		
	AG2	4,258,	424	3/1981	Giras et al.			
	AH2	4,265,	099	5/1981	Johnson et al.			
	Al2	4,292,	534	9/1981	Diegel et al.			
	AJ2	4,340,	820	7/1982	Meyer-Pittroff et al.			
	AK2	4,401,	938	8/1983	Cronin			
			<u> </u>	FOREIG	N PATENT DOCUMENTS			
EXAMINER INITIAL		DOC	UMENT IBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATI
	AL2	0 90	1 218	3/1999	EP			Yes No
	AM2 1453862		4/1965	FR			Yes No	
	AN2 2395316	1/1979	FR			Yes No		
*************************************	AO2	52-6		5/1977	JP	<u> </u>		Yes No
	AP2			11/1994				Yes No
		т -	OTHE	R (Including Au	thor, Title, Date, Pertinent Pa	ages, etc.)		
	AR	2	German Pate	nt Abstract entitle	ed "Control Circuit for Turbine A	AC Motor-Generator"	for DE 36343	328 (April1987).
	AS 2 German Patent Abstract entitled "Load Symmetrising e.g. for Several Power Supply Modules Modules"; for DE 19704662 (August 1998).							cluding Rectifier
	AT	<u>2</u>	French Paten 2395316 (Jan	t Abstract entitled uary 1979).	d "Control System for Turbine D	Oriven by Blast Furna	ce Throat Ga	s"; for FR
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INFORMATION DISCLOSURE STATEMENT

APPLICANT Khalizedeh et al.

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				U.S	S. PATENT DOCUMENTS			
EXAMINER INITIAL		DO NU	CUMENT MBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA3	4,4	42,385	4/1984	Van Sickle			
	AB3	4,4	71,229	9/1984	Plohn et al.		***	
	AC3	4,4	81,459	11/1984	Mehl et al.			T
	AD3	4,4	98,551	2/1985	Arbisi			
	AE3	4,5	51,980	11/1985	Bronicki			
	AF3	4,5	60,364	12/1985	Cohen			
_	AG3	4,5	65,957	1/1986	Gary et al.			
	AH3	4,6	84,814	8/1987	Radomski			
	AI3	4,70	09,318	11/1987	Gephart et al.		-	
	AJ3	4,7	19,550	1/1988	Powell et al.			
	AK3	4,7	30,397	3/1988	Weiford et al.			
		<u> </u>		FORE	IGN PATENT DOCUMENTS			<u> </u>
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	AL3	_	/O 98/25014	6/1998	WO			Ye
	АМЗ	W	/O 99/32762	7/1999	WO			Ye N
	AN3	W	/O 99/52193	10/1999	wo			Ye Ni
	AO3	W	/O 00/28191	5/2000	wo			Ye N
	AP3							Ye N
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	AR	<u>3</u>	Japanese Pate (May 1977).	nt Abstract entit	led "Control Circuit in Permanent Ma	gnet Motor"; for J	P Publication	No. 52-60924
	AS AT	3						— <u>-</u> -
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant. SKGF_DC1:167194.1

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			U.S	. PATENT DOCUMENTS			
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	AA4	4,754,607	7/1988	Mackay			1
	AB4	4,757,686	7/1988	Kawamura et al.			
	AC4	4,772,802	9/1988	Glennon et al.			
	AD4	4,786,852	11/1988	Cook			
	AE4	4,802,882	2/1989	Heidrich			
	AF4	4,830,412	5/1989	Raad et al.			
	AG4	4,833,887	5/1989	Kawamura et al.			
	AH4	4,841,216	6/1989	Okada et al.			
	Al4	4,862,009	8/1989	King			
	AJ4	4,883,973	11/1989	Lakey et al.			
_	AK4	4,908,565	3/1990	Cook et al.	l		
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APPLICANT Khalizedeh et al.	
FILING DATE, January 10, 2002	GROUP 2834

INFORMATION DISCLOSURE STATEMENT **U.S. PATENT DOCUMENTS EXAMINER** SUB-CLASS DATE NAME **CLASS FILING DATE** INITIAL **DOCUMENT** NUMBER 7/1990 Dhyanchand AA5 4,939,441 4,955,199 9/1990 Kawamura AB5 AC5 4,967,096 10/1990 Diemer et al. AD5 4,968,926 11/1990 Dhyanchand Bronicki AE5 4,982,569 1/1991 AF5 5,013,929 5/1991 Dhyanchand 5,015,941 5/1991 Dhyanchand AG5 7/1991 AH5 5,029,062 Capel AI5 5,038,566 8/1991 Hara AJ5 5,055,764 10/1991 Rozman et al. AK5 5,057,763 10/1991 Torii et al. FOREIGN PATENT DOCUMENTS EXAMINER INITIAL DOCUMENT NUMBER DATE CLASS **TRANSLATI** COUNTRY SUB-**CLASS** ON Yes AL2 No Yes AM2 No Yes AN2 No Yes AO₂ No Yes AP2 No OTHER (Including Author, Title, Date, Pertinent Pages, etc.) AR <u>5</u> AS <u>5</u> AT <u>5</u> **EXAMINER** DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



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INFORMATION DISCLOSURE STATEMENT

APPLICANT Khalizedeh et al.

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	AA6	5,068,590	11/1991	Glennon et al.		<u> </u>		
	AB6	5,088,286	2/1992	Muraji				
	AC6	5,097,195	3/1992	Raad et al.				
	AD6	5,115,183	5/1992	Kyoukane et al.				
	AE6	5,158,504	10/1992	Stocco				
	AF6	5,191,520	3/1993	Eckersley		<u> </u>		
	AG6	5,214,371	5/1993	Naidu				
	AH6	5,237,260	8/1993	Takakado <i>et al</i> .				
	Al6	5,250,890	10/1993	Tanamachi et al.		<u> </u>		
	AJ6	5,252,860	10/1993	McCarty et al.				
	AK6	5,260,637	11/1993	Pizzi				
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	AL3						Ye	
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U.S. PATENT DOCUMENTS

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FER TRAI	DEMARK				ATTY. DOCKET NO. 2066.02100	01 APP	LICATION NO. 10/			
		FORM I	PTO-1449		APPLICANT Khalizedeh et al.	APPLICANT Khalizedeh et al.				
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EXAMINER INITIAL		DOC	CUMENT MBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE		
	AA7		1,905	1/1994	Dhyanchand et al.			 		
	AB7		1,106	3/1994	Murty et al.					
- 	AC7		9,081	5/1994	Shah et al.			1		
	AD7		5,043	6/1994	Parro		 			
	AE7		5,154	9/1994	King					
	AF7		3,032	11/1994	Hanson et al.		- 			
	AG7		4,309	11/1994	Heidrich et al.			 		
	AH7	$\overline{}$	3,195	12/1994	De Doncker et al.	+		+		
	AI7		1,081	1/1995	Radun			 		
	AJ7			2/1995						
			7,859	4/1995	Murugan et al.					
	AK7	1 5,40	4,092		Gegner GN PATENT DOCUMENTS					
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	AN1							Yes No		
	AO1	<u> </u>						Yes No		
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Page 8 of 12 ATTY. DOCKET NO. 2066.0210001 APPLICATION NO. 10/043,694 FORM PTO-1449 APPLICANT Khalizedeh et al. INFORMATION DISCLOSURE STATEMENT **GROUP 2834** FILING DATE January 10, 2002 **U.S. PATENT DOCUMENTS EXAMINER** SUB-CLASS INITIAL DOCUMENT DATE NAME **CLASS FILING DATE** NUMBER AA8 5,406,797 4/1995 Kawamura AB8 5,428,275 6/1995 Carr et al. AC8 5,430,362 7/1995 Carr et al. AD8 5,477,091 12/1995 Fiorina et al. AE8 5,488,286 1/1996 Rozman et al. AF8 2/1996 5,495,162 Rozman et al. 2/1996 AG8 5,495,163 Rozman et al. AH8 5,510,696 4/1996 Naidu et al. 5,512,811 AI8 4/1996 Latos et al. AJ8 5,544,484 8/1996 Voss et al. AK8 8/1996 5,545,090 Kirschey **FOREIGN PATENT DOCUMENTS** EXAMINER INITIAL **DOCUMENT** DATE COUNTRY **CLASS** SUB-**TRANSLATI** NUMBER CLASS Yes AL2 No Yes AM2 No Yes AN2 No Yes AO2 No Yes AP2 No OTHER (Including Author, Title, Date, Pertinent Pages, etc.) AR 8 AS 8 ΑT 8 **EXAMINER** DATE CONSIDERED

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	AA9	${ullet}$	46,742	8/1996	Shekhawat et al.			1	
	AB9		50,410		Titus				
	AC9		50,455		Baker			†	
	AD9		59,421		Miyakawa				
	AE9		63,802		Plahn et al.				
	AF9		68,023		Grayer et al.				
	AG9	$\overline{}$	72,108		Windes				
	AH9	$\overline{}$	81,168		Rozman <i>et al</i> .		***************************************	T	
	Al9	_	87,647		Bansal et al.		-	1 -	
	AJ9	-	94,322		Rozman et al.				
	AK9	_	37,987	6/1997	Fattic et al.				
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	AL3								No
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	ANG	3							No
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		FORM PTO-1449		APPLICANT Khalizedeh et al.			
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				PATENT DOCUMENTS			
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	AA10	5,646,458	7/1997	Bowyer et al.			
	AB10	5,656,915	8/1997	Eaves			
	AC10	5,743,227	4/1998	Jacquet et al.			
	AD10	5,767,637	6/1998	Lansberry			
<u> </u>	AE10	5,789,881	8/1998	Egami et al.			
	AF10	5,799,484	9/1998	Nims			
<u> </u>	AG10	5,819,524	10/1998	Bosley et al.			
<u> </u>	AH10	5,847,522	12/1998	Barba		 	
	Al10	5,903,116	5/1999	Geis et al.			
<u> </u>	AJ10	5,905,346	5/1999	Yamada et al.			
: 	AK10	5,929,537	7/1999	Glennon			
	 _		FOREIG	GN PATENT DOCUMENTS			
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATI ON
	AL1						Yes No
	AM1						Yes No
	AN1						Yes No
	AO1						Yes No
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EXAMINER INITIAL		DOCUMEN NUMBER	T DATE	NAME	CLASS	SUB- CLASS	FILING DATE	
	AA11	5,936,312	8/1999	Koide et al.				
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	AN2						No.	
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Page 12 of 12 ATTY. DOCKET NO. 2066.0210001 APPLICATION NO. 10/043,694 **FORM PTO-1449** APPLICANT Khalizedeh et al. INFORMATION DISCLOSURE STATEMENT **GROUP 2834** FILING DATE January 10, 2002 **U.S. PATENT DOCUMENTS EXAMINER** CLASS INITIAL **DOCUMENT** DATE NAME SUB-**FILING DATE** NUMBER **CLASS** 6,064,122 5/2000 McConnell AA12 **AB12** 6,087,734 7/2000 Maeda et al. 6,107,775 AC12 8/2000 Rice et al. 11/2000 McConnell et al. AD12 6,147,414 Roseman et al. AE12 6,153,942 11/2000 AF12 6,169,332 B1 1/2001 Taylor et al. Edelman AG12 6,169,334 B1 1/2001 AH12 6,175,210 B1 1/2001 Schwartz et al. 2/2001 6,194,794 B1 Lampe et al. A112 AJ12 6,323,625 B1 11/2001 Bhargava AK12 6,487,096 B1 11/2002 Gilbreth et al. FOREIGN PATENT DOCUMENTS **EXAMINER** INITIAL **DOCUMENT** DATE COUNTRY **CLASS** SUB-TRANSLATI NUMBER CLASS ON Yes AL3 No Yes AM3 Νo Yes AN3 No Yes AO3 No Yes AP3 No OTHER (Including Author, Title, Date, Pertinent Pages, etc.) AR <u>12</u>

EXAMINER DATE CONSIDERED

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